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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/560,079	04/27/2000	John E. Brezak JR.	MS139778.2	2852

27195 7590 02/23/2004

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EXAMINER

JUNG, DAVID YIUK

ART UNIT PAPER NUMBER

2134

7

DATE MAILED: 02/23/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

Application No.

09/560,079

Applicant(s)

BREZAK ET AL.

Examiner

David Y Jung

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 10 December 0203.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☐ Claim(s) 1-25 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-25 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- 1) ☐ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_.

**DETAILED ACTION**

***Claim Rejections - 35 USC § 103***

Claims 1-25 are presented.

***Response to Arguments***

Applicant's arguments filed 12/10/2003 have been fully considered but they are not persuasive..

In response to applicant's argument that the examiner's conclusion of obviousness is based upon improper hindsight reasoning, it must be recognized that any judgment on obviousness is in a sense necessarily a reconstruction based upon hindsight reasoning. But so long as it takes into account only knowledge which was within the level of ordinary skill at the time the claimed invention was made, and does not include knowledge gleaned only from the applicant's disclosure, such a reconstruction is proper. See *In re McLaughlin*, 443 F.2d 1392, 170 USPQ 209 (CCPA 1971). In the present application, the rejection was made by specifically pointing out passages of references (e.g., Pinkert) in which the motivation to combine was stated.

In response to applicant's arguments against the references individually, one cannot show nonobviousness by attacking references individually where the rejections are based on combinations of references. See *In re Keller*, 642 F.2d 413, 208 USPQ 871 (CCPA 1981); *In re Merck & Co.*, 800 F.2d 1091, 231 USPQ 375 (Fed. Cir. 1986). In the present application, the rejection was made by pointing out that the tickets of Kerberos (as noted in references such as Schneier) require the recited features of the

claims (such as the search and reply systems that were mentioned in the Remarks section of the arguments filed 12/10/2003).

***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 1-25 are rejected under 35 U.S.C. 103(a) as being unpatentable over Schneier (Applied Cryptography Second Edition: protocols, algorithms, and source code in C, 1996) and Pinkert et al. (Operating systems: concepts, policies, and mechanisms, 1989, prentice-hall, pp. 205-207).

Regarding claim 1, Schneier teaches Awherein the search results for the search match results for the key words are ... in which a search match for a first number of the one or more search engines is displayed ... (page 567, especially how Kerberos uses tickets)"

These passages of Schneier do not teach "aliases"

Pinkert teaches "aliases (page 205, such as at last paragraph which explicitly mentions aliases)" for the motivation of "allowing users to reference the same physical file by different logical names." As can be noted from Pinkert, aliases are sometimes

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used as alternate names for a single access (such as by a single entity or a single user). This is the type of alias use that in the claimed invention.

It would have been obvious to those of ordinary skill in the art at the time of the claimed invention to combine the teachings of Schneier with the teachings of Pinkert for the motivation noted in the previous paragraphs so as to teach the claimed invention.

Regarding claim 2, Schneier teaches such A method of claim 1 wherein the first party is a domain controller (page 567, i.e. Kerberos, which handles such domain controller situations)."

Regarding claim 3, such A the method of claim 2 wherein the domain controller includes a directory service and a Global Catalog Service" are well known in the art for the motivation of connecting computers on networks (such as local area networks).

Regarding claim 4, such Schneier teaches A the method of claim 1 wherein the authentication of the service is provided via Kerberos (page 567, i.e. Kerberos)"

Regarding claim 5, such A the method of claim 1 wherein the aliases are Service Principal Names" are well known in the art for the motivation of easily implementing (because such SPN=s are easily available).

Regarding claim 6, such A the method of claim 5 wherein the Service Principal Names further comprise at least one of a Service Type, an Instance Name, a Port Number, a Service Name and a Domain" are well known in the art for the motivation of easily implementing (because such types of names are easily available).

Regarding claim 7, such A the method of claim 5 wherein the Service Principal Names are associated with an account related to a server are well known in the art for

the motivation of easily implementing (because such types of names are easily available, such as from the server).

Regarding claim 8, such as the method of claim 7 wherein the step of searching a list of aliases further comprises the steps of: searching the account for an associated Service Principal name; and providing name canonicalization by returning a ticket related to the account" are well known in the art for the motivation of efficient handling of names in security situations.

Regarding claim 9, Schneier teaches a domain controller for facilitating a client authenticating a server, comprising (page 566, i.e. Kerberos model):

a system for providing a plurality of ... which the client may employ to authenticate to the server (page 567, i.e. Kerberos).

These passages of Schneier do not teach "aliases."

Pinkert teaches "aliases (page 205, such as at last paragraph which explicitly mentions aliases)" for the motivation of "allowing users to reference the same physical file by different logical names." As can be noted from Pinkert, aliases are sometimes used as alternate names for a single access (such as by a single entity or a single user). This is the type of alias use that in the claimed invention.

It would have been obvious to those of ordinary skill in the art at the time of the claimed invention to combine the teachings of Schneier with the teachings of Pinkert for the motivation noted in the previous paragraphs so as to teach the claimed invention.

Regarding claim 10, Scheiner teaches a system for facilitating a client authenticating a server, comprising: a domain controller operatively coupled to the client and server, the domain controller providing a plurality of ... which permit the client to authenticate the server via at least one of the ... (pages 567, i.e. Kerberos).

These passages of Schneier do not teach "aliases."

Pinkert teaches "aliases (page 205, such as at last paragraph which explicitly mentions aliases)" for the motivation of "allowing users to reference the same physical file by different logical names." As can be noted from Pinkert, aliases are sometimes used as alternate names for a single access (such as by a single entity or a single user). This is the type of alias use that in the claimed invention.

It would have been obvious to those of ordinary skill in the art at the time of the claimed invention to combine the teachings of Schneier with the teachings of Pinkert for the motivation noted in the previous paragraphs so as to teach the claimed invention.

Regarding claim 11, Schneier teaches a system for facilitating authentication of a service, comprising:

means for receiving a request for authentication of the service from a client, the request including a first ... (page 566, Kerberos Model);

means for searching a list of ... associated with the service (page 567, Kerberos);

means for enabling the client to access the service if a match is found between the first ... and at least one ... of the list of ... (page 567, Kerberos).

These passages of Schneier do not teach "aliases"

Pinkert teaches "aliases (page 205, such as at last paragraph which explicitly mentions aliases)" for the motivation of "allowing users to reference the same physical file by different logical names." As can be noted from Pinkert, aliases are sometimes used as alternate names for a single access (such as by a single entity or a single user). This is the type of alias use that in the claimed invention.

It would have been obvious to those of ordinary skill in the art at the time of the claimed invention to combine the teachings of Schneier with the teachings of Pinkert for the motivation noted in the previous paragraphs so as to teach the claimed invention.

Regarding claim 12 (the system of claim 11 including a means for generating an implicit list facilitating automatic creation of Service Principal Names), claim 13 (the system of claim 12 further including a means for constraint checking in order to prevent authentication to an unauthorized server), claim 14 (the system of claim 13 wherein the means for constraint checking includes a Host Name and an attribute), claim 15 (the system of claim 14 wherein the means for constraint checking includes having a means for determining if a server is authentic by matching the Host Name with the attribute), these features are taught by the prior art for the reasons noted in the rejections of claims 1-10 (Schneier teaching such security features, Pinkert teaching such alias handling, the prior art as a whole teaching other features for the motivations noted in the rejections of claims 1-10).

Regarding claim 16, Schneier teaches a system for facilitating authentication of a service, comprising:



a domain controller for receiving a request for authentication of the service from a client, the request including a first ... (page 567, Kerberos);

wherein the domain controller searches a list of ... in an account associated with the service (page 567, Kerberos);

wherein the domain controller enables the client to access the service via a ticket if a match is found in the account between the first ... and at least one ... of the list of ... (page 567, Kerberos)..

These passages of Schneier do not teach "aliases"

Pinkert teaches "aliases (page 205, such as at last paragraph which explicitly mentions aliases)" for the motivation of "allowing users to reference the same physical file by different logical names." As can be noted from Pinkert, aliases are sometimes used as alternate names for a single access (such as by a single entity or a single user). This is the type of alias use that in the claimed invention.

It would have been obvious to those of ordinary skill in the art at the time of the claimed invention to combine the teachings of Schneier with the teachings of Pinkert for the motivation noted in the previous paragraphs so as to teach the claimed invention.

Regarding claim 17 (the system of claim 16 wherein the aliases are Service Principal Names), claim 18 (the system of claim 17 wherein the Service Principal Names further comprise at least one of a Service Type, an Instance Name, a Port Number, a Service Name and a Domain), claim 19 (the system of claim 16 further including an implicit list to facilitate automatic creation of Service Principal Names), claim 20 (the system of claim 19 further including constraint checking in order to prevent

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authentication to an unauthorized server), claim 21 (the system of claim 20 wherein the constraint checking includes a Host Name and an attribute), claim 22 (the system of claim 21 wherein the constraint checking includes determining if a server is authentic by matching the Host Name with the attribute), these features are taught by the prior art for the reasons noted in the rejections of claims 1-15 (Schneier teaching such security features, Pinkert teaching such alias handling, the prior art as a whole teaching other features for the motivations noted in the rejections of claims 1-15).

Regarding claim 23 (the system of claim 16 further including a referral service for directing the client to another domain), claim 24 (the system of claim 23 wherein the domain the client is directed to may refer the client to another domain), claim 25 (the system of claim 16 wherein improved security is provided for replicated services by including the name of the replicated service within a Service Principal Name), these features are taught by the prior art for the reasons noted in the rejections of claims 1-22 (Schneier teaching such security features, Pinkert teaching such alias handling, the prior art as a whole teaching other features for the motivations noted in the rejections of claims 1-22).

***Conclusion***

The art made of record and not relied upon is considered pertinent to applicant's disclosure. The art disclosed general background. They were cited in the previous Office Action.

**THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than **SIX MONTHS** from the mailing date of this final action.

***Points of Contact***

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

**Any response to this action should be mailed to:**

Commissioner of Patents and Trademarks  
Washington, D.C. 20231

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**or faxed to:**

(703) 746-7239, (for formal communications intended for entry)

**Or:**

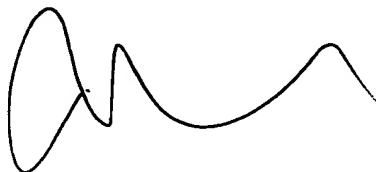
(703) 746-5606 (for informal or draft communications, please label "PROPOSED" or "DRAFT")

Hand-delivered responses should be brought to Crystal Park II, 2121 Crystal Drive, Arlington, VA., Sixth Floor (Receptionist).

Any inquiry concerning this communication or earlier communications from the examiner should be directed to David Jung whose telephone number is (703) 308-5262 or Greg Morse whose telephone number is (703) 308-4789.

David Jung

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A handwritten signature in black ink, consisting of a large, stylized 'D' followed by a series of loops and a final upward stroke.

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Patent Examiner

2004-02-20

A handwritten signature in black ink, consisting of a stylized, cursive-like mark that resembles a combination of a capital 'A' and a capital 'W'.